

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 09857-029001	Application No. 09/401,873
		Applicant Stuart Serkin et al	JUN - 7 2000
	Filing Date September 23, 1999	Group Art Unit	JUN 05 2000

U.S. Patent Documents

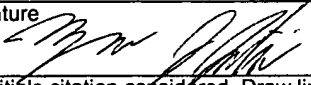
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
B	AQ	Securities and Exchange Commission, Proposed Rule Change, NASD, Inc., 2/5/99, 61 pps.
	AR	
	AS	
	AT	

Examiner Signature 	Date Considered 6/13/02
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449

U.S. Department of Commerce
Patent and Trademark Office

Attorney's Docket No.

09857-029001

Application No.

09/401,873

**Information Disclosure Statement
by Applicant**

(Use several sheets if necessary)

Applicant

Stuart Serkin et al.

Filing Date

September 23, 1999

Group Art Unit

(37 CFR § 1.88(b))

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

RECEIVED
FEB 05 2002
Technology Center 2100

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
B)	AQ	Smith, J.W., Selway, J.P., McCormick, T.D., "NASD Working Paper 98-01: The Nasdaq Stock Market: Historical Background and Current Operation", NASD Department of Economic Research, August 24, 1998, pps. 1-51, XP002171837 (www.academic.nasdaq.com/docs/wp98_01.pdf).
	AR	
	AS	
	AT	

Examiner Signature

[Signature]

Date Considered

6/13/02

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.